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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FILING COMPLETION UNDER RULE 53(f)

In re PATENT APPLICATION of

Inventors: Catherine GUENTHER et al.

App. No.: 09/883,093

Filed: June 14, 2001

Title: Transgenic Mice Containing Nuclear Hormone Receptor  
Gene Disruptions

Docket/Order No.

R-126

Deposit Account No.

50-1271

Customer No.

26619

Date:

October 16, 2001

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Sir:

The following **completes the filing** under Rule 53(f) of the above-identified patent application:

1. ☒ Enclosed is a copy of the Notice to File Missing Parts.
2. ☒ Signed Declaration enclosed: ☒ Original / ☐ facsimile/copy
3. ☒ Enclosed is an Assignment and cover sheet. Please return the recorded Assignment to the undersigned.
4. ☒ Enclosed is the sequence listing on paper and a diskette containing said sequence listing.
5. ☒ Applicants state that the content of the sequence listing information recorded in computer readable form is identical to the written sequence listing and includes no new matter, as required by 37 CFR §1.821.
6. ☒ Applicants hereby claim "small entity" status pursuant to 37 CFR §1.27.


**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

7. Basic Filing Fee				\$355.	\$	\$355.00	201
8. Total Claims	47	minus 20 =	27	x 9.	+	243.00	203
9. Independent Claims	16	minus 3 =	13	x 40.	+	520.00	202
10. Multiple Dependent Claims				135.	+	135.00	204
11. Surcharge for filing Declaration/filing fee late				65.	+	65.00	205
12. FILING FEE: <input type="checkbox"/> CHARGE AUTHORIZATION <input checked="" type="checkbox"/> ENCLOSED					\$	1,318.00	
13. Original due date: <b>October 16, 2001</b>							
14. Petition is hereby made to extend the original due date to cover the date of this response, for which the requisite fee is enclosed.				\$ 55 / 195. 445 / 695.		.00	215/216 217/218
15. If Assignment s included, add recording fee				\$ 40.	+	40.00	581
16. TOTAL FEE (enclosed):						\$1,358.00	

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any missing fees required, or credit any overpayment, to our Account/Order No. shown above, for which a duplicate copy of this sheet is enclosed.

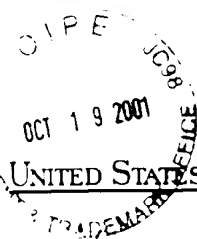
**DELTAGEN, INC.**

1003 Hamilton Avenue  
Menlo Park, CA 94025  
Tel: (650) 463-5836  
Fax: (650) 752-0202

  
Mariette A. Lapiz, Reg. No. 44,202

I certify that the enclosed papers are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231, on **October 16, 2001**.

  
Gayle D. Peterson



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 2023  
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APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09'883,093	06/14/2001	Catherine Guenther	R-126

CONFIRMATION NO. 7936

## FORMALITIES LETTER



\*OC00000006433927\*

DELTAGEN, INC.  
1003 Hamilton Avenue  
Menlo Park, CA 94025

Date Mailed: 08/16/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$880.
 

■ \$225 for 25 total claims over 20.	02 FC:205	65.00 GP
■ \$520 for 13 independent claims over 3.	03 FC:203	225.00 GP
■ \$135 for multiple dependent claim surcharge.	04 FC:204	140.00 GP
	05 FC:201	370.00 GP
	06 FC:202	518.00 GP
		28.00 CH
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1300.**
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file

10/23/2001 MBERHE 00000036 09883 33

in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)**

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE